

Attorney Docket No. 02-100620US

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|--|--|--|--|--|--|
| FORM PTO-1595 (Rev. 6-93) | | Recordation Form Cover Sheet (Patents Only) | | U.S. Department of Commerce Patent and Trademark Office | |
| To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof | | | | | |
| 1. Name of conveying party(ies): Steven H. Bass Additional name(s) of conveying parties attached? Yes | | 2. Name and address of receiving party(ies) Name: Maxygen, Inc. Internal Address: Street Address: 515 Galveston Drive, Redwood City, CA 94063 Additional names and addresses attached? No | | | |
| 3. Nature of conveyance: X Assignment Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Dates: 03/22/2001, 03/23/2001, 03/29/2001, 03/30/2001, 04/03/2001, 02/23/2001 & 05/03/2001 | | | | | |
| 4. Application Number(s) or Patent Numbers. If this document is being filed together with a new application, the execution date of the application is: A. Patent Application No(s): 09/760,010 B. Patent No(s): Additional numbers attached? No | | | | | |
| 5. Name and address of party to whom correspondence concerning document should be mailed: Name: Jonathan Alan Quine, Esq. Law Offices of Jonathan Alan Quine P.O. Box 458 Alameda, CA 94501 (510) 337-7871 | | 6. Total number of applications and patents involved 1 7. Total fee (37 CFR 3.41): -----\$40.00 <input type="checkbox"/> Enclosed X Charge Fees to Deposit Account X Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account. 8. Deposit account number: 50-0893 | | | |
| DO NOT USE THIS SPACE | | | | | |
| 9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.</i> <div style="display: flex; justify-content: space-between;"><div>Jonathan A. Quine Name of Person Signing Atty Reg. No. 41,261</div><div style="text-align: center;"> Signature</div><div style="text-align: center;">5-17-01 Date</div></div> Total number of pages including cover sheet, attachments and document 11 | | | | | |
| 10. Change Correspondence Address to that of Part 5? X Yes <input type="checkbox"/> No | | | | | |
| OMB No. 0651-0011 (exp. 4/94) | | | | | |
| Do not detach this portion | | | | | |
| Mail documents to be recorded with required cover to: Asst. Commissioner for Patents Box: Assignments Washington, D.C. 20231 | | | | | |

NOT FOR RECORDATION



1. Additional name(s) of conveying party(ies):
(Continued from Page 1)

S. Christopher Davis
Phillip A. Patten
Matthew Tobin
Jeremy Minshull
Mark Welch
Claus Gustafsson
Brian carr
Stephane Jenne
Sun Ai Raillard
Andreas Cramer
Willem P.C. Stemmer
Robin Emig
Pascal Longchamp
Stanley Goldman
Lorraine J. Giver
Joesph A. Affholter

2. Additional name(s) and address(es) of receiving party(ies):
(Continued from Page 1)

3. Additional application number(s) or patent number(s):
(Continued from Page 1)

A. Patent Application No.(s)

B. Patent No.(s)

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COPY

Attorney Docket No.: 02-100620US
Client Reference No.: 0139.003

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Steven H. Bass, of 950 Parrot Drive, Hillsborough, CA 94010, S. Christopher Davis, of 118 Church Street #103, San Francisco, CA 94114, Phillip A. Patten, of 261 La Cuesta Drive, Menlo Park, CA 94028, Matthew Tobin, of 5662 Sunflower Lane, San Jose, CA 95118, Jeremy Minshull of 842 Hermosa Way, Menlo Park, CA 94025, Mark Welch, of 25 Montalban Drive, Fremont, CA 94536, Claus Gustafsson, of 1813 Bayview Avenue, Belmont, CA 94002, Brian Carr, of 3628 Thrush Terrace, Fremont, CA 94555, Stephane Jenne, of 821 El Camino Real #202, Burlingame, CA 94018, Sun Ai Raillard, of 964 Trophy Drive, Mountain View, CA 94043, Andreas Cramer, of Gehrenstr.3, 4153 Reinach, Switzerland, Willem P.C. Stemmer, of 108 Kathy Court, Los Gatos, CA 95030, Robin Emig, of 8014 South Lake Drive #E, Dublin, CA 94568, Pascal Longchamp, of 1866 West Bayshore Road, #B, East Palo Alto, CA 94303, Stanley Goldman, of 760 Rosewood Drive, Walnut Creek, CA 94596, Lorraine J. Giver, of 2538 Hawkington Court, Santa Clara, CA 95051 and Joseph A. Affholter, of 225 Clubhouse Circle, Lake Village Zephyr Cove, NV 89448 hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: *Integrated Systems And Methods For
Diversity Generation And Screening*

Filing Date: January 10, 2001

Application No.: 09/760,010; and

WHEREAS, Maxygen, Inc., a Delaware corporation, located at 515 Galveston Drive, Redwood City, CA 94063, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and which claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

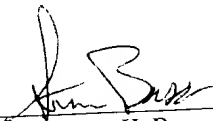
Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

NOT FOR RECORDATION

Assignment 0139.003
Application No.: 09/760,010
Page 2

IN TESTIMONY WHEREOF, Assignors have signed his/her name on the date indicated.


Dated: 3/22/01



Steven H. Bass

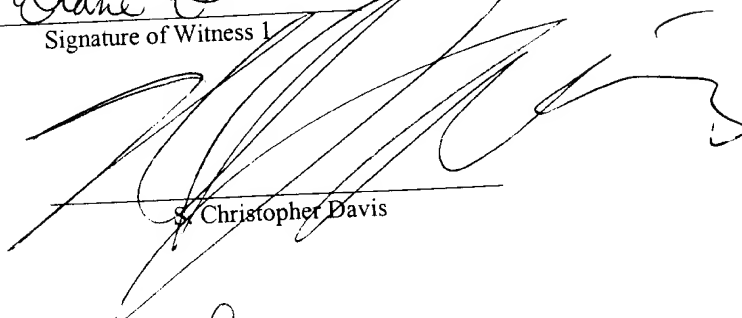
SIGNATURE WITNESSED BY:

(1) Date: 3/22/01



Signature of Witness 1


Dated: 22/3/01



Christopher Davis

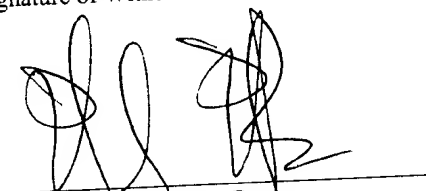
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(1) Date: 3/22/01



Signature of Witness 1

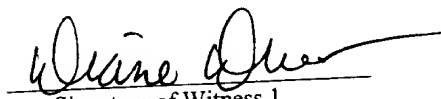
Dated: 3-30-01



Phillip A. Patten

SIGNATURE WITNESSED BY:

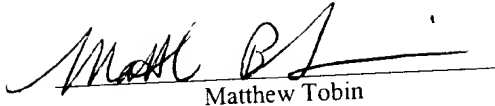
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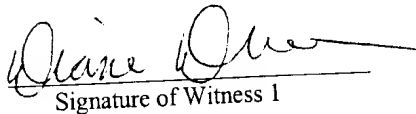
Assignment 0139.003
Application No.: 09/760,010
Page 3

Dated: 3-22-01

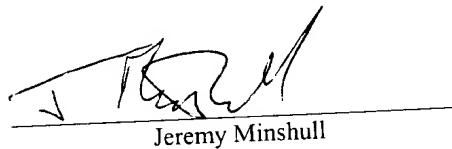

Matthew Tobin

SIGNATURE WITNESSED BY:

(1) Date: 3/22/01

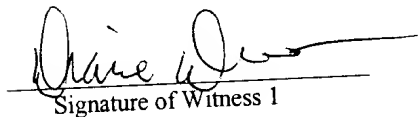

Signature of Witness 1

Dated: 3/22/01


Jeremy Minshull

SIGNATURE WITNESSED BY:

(1) Date: 3/22/01

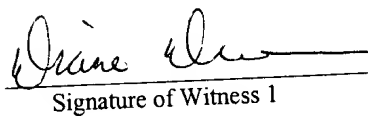

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Dated: 3/22/01


Mark Welch

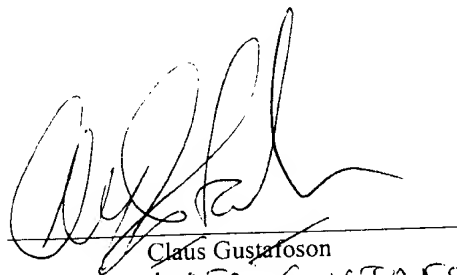
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(1) Date: 3/22/01


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Assignment 0139.003
Application No.: 09/760,010
Page 4

Dated: 3-22-01

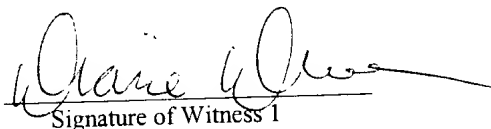


Claus Gustafson

CLAES GUSTAFSSON CG

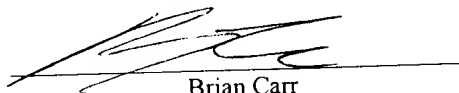
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(1) Date: 3/22/01



Signature of Witness 1

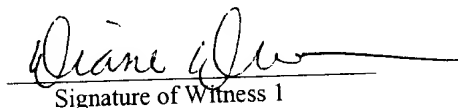
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Brian Carr

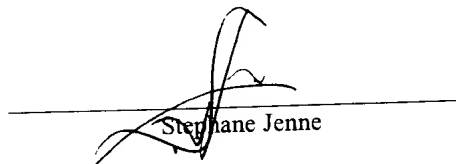
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(1) Date: 3/22/01



Signature of Witness 1

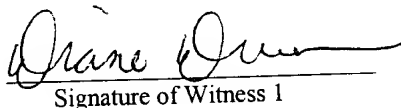
Dated: 03/19/01 1001.



Stephanie Jenne

SIGNATURE WITNESSED BY:

(1) Date: 3/22/01



Signature of Witness 1

Assignment 0134.003
Application No.: 09/760,010
Page 5

Dated: 4-3-01

Sun Ai Raillard
Sun Ai Raillard

SIGNATURE WITNESSED BY:

(1) Date: 4/3/01

Diene Drew
Signature of Witness 1

Dated: _____

Andreas Crameri

SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1

Dated: 3-29-2001

Willem P.C. Stemmer
Willem P.C. Stemmer

SIGNATURE WITNESSED BY:

(1) Date: 3/29/01

Diene Drew
Signature of Witness 1

Assignment
Application No.: 09/760,010
Page 5

Dated: _____

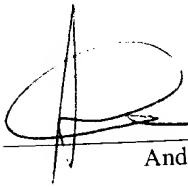
Sun Ai Raillard

SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1

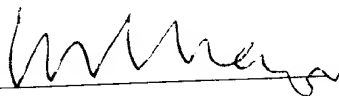
Dated: 23.02.01



Andreas Crameri

SIGNATURE WITNESSED BY:

(1) Date: 23.02.01



Signature of Witness 1

Dated: _____

Willem P.C. Stemmer


SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1

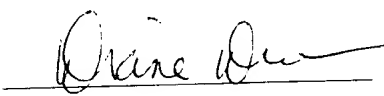
Assignment 0139.003
Application No.: 09/760,010
Page 6

Dated: 3/22/01

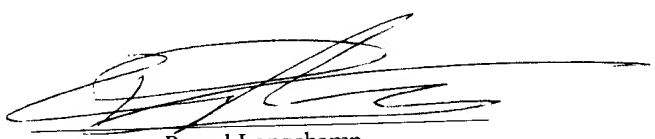

Robin Emig

SIGNATURE WITNESSED BY:

(1) Date: 3/22/01

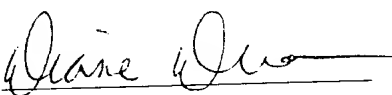

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Dated: 3/22/01

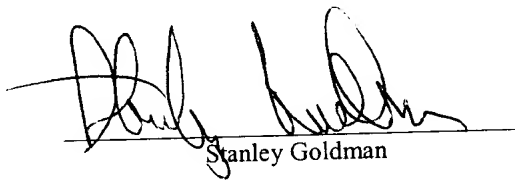

Pascal Longchamp

SIGNATURE WITNESSED BY:

(1) Date: 3/22/01

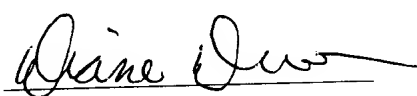

Signature of Witness 1

Dated: 3/23/01


Stanley Goldman

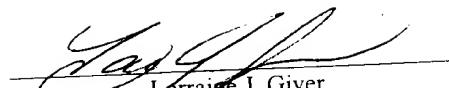
SIGNATURE WITNESSED BY:

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Assignment 0139,003
Application No.: 09/760,010
Page 7

Dated: 3/23/01


Lorraine J. Giver

SIGNATURE WITNESSED BY:

(1) Date: 3/23/01


Signature of Witness 1

Dated: _____

Joseph A. Affholter

SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1

Assignment
Application No.: 09/760,010
Page 7

Dated: _____

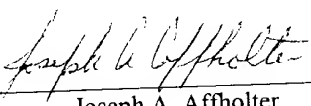
Lorraine J. Giver

SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1

Dated: 05/03/01


Joseph A. Affholter

SIGNATURE WITNESSED BY:

(1) Date: _____

Signature of Witness 1



0139-003

PTO/SB/96 (2-98)

Approved for use through 09/30/02000. OMB 0651-0031

STATEMENT UNDER 37 CFR 3.73(b)Applicant: Steven H. Bass, et al.Application No.: 09/760,010Filed: January 10, 2001Entitled: **INTEGRATED SYSTEMS AND METHODS FOR DIVERSITY GENERATION
AND SCREENING**Maxygen, Inc.

, a

corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. [X] An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.

OR

B. [] A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel ____, Frame ____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel ____, Frame ____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel ____, Frame ____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet

[X] Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

April 4, 2001
Date
SignatureMichael S. Rabson
Typed or printed nameGeneral Counsel
Title



Attorney Docket No.: 02-100620US
Client Reference No.: 0139.003

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **INTEGRATED SYSTEMS AND METHODS FOR DIVERSITY GENERATION AND SCREENING** the specification of which X was filed on as Application No. 09/760,010.

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

| Country | Application No. | Date of Filing | Priority Claimed Under 35 USC 119 |
|---------|-----------------|----------------|--------------------------------------|
| | | | |

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

| Application No. | Filing Date |
|-----------------|------------------|
| 60/175,551 | January 11, 2000 |
| 60/213,947 | June 23, 2000 |

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| Application No. | Date of Filing | Status |
|-----------------|----------------|--------|
| | | |

| | | | |
|---------------------------|--|---|--|
| Full Name of Inventor 1: | Full Name: Steven H. Bass | | |
| Residence & Citizenship: | City: Hillsborough | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 950 Parrot Drive, Hillsborough, CA 94010 USA | | |
| Full Name of Inventor 2: | Full Name: S. Christopher Davis | | |
| Residence & Citizenship: | City: San Francisco | State/Foreign Country: California | Country of Citizenship: United Kingdom |
| Post Office Address: | Post Office Address: 118 Church Street #103, San Francisco, CA 94114 USA | | |
| Full Name of Inventor 3: | Full Name: Phillip A. Patten | | |
| Residence & Citizenship: | City: Menlo Park | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 261 La Cuesta Drive, Menlo Park, CA 94028 USA | | |
| Full Name of Inventor 4: | Full Name: Matthew Tobin | | |
| Residence & Citizenship: | City: San Jose | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 5662 Sunflower Lane, San Jose, California 95118 USA | | |
| Full Name of Inventor 5: | Full Name: Jeremy Minshull | | |
| Residence & Citizenship: | City: Menlo Park | State/Foreign Country: California | Country of Citizenship: United Kingdom |
| Post Office Address: | Post Office Address: 842 Hermosa Way, Menlo Park, California 94025 USA | | |
| Full Name of Inventor 6: | Full Name: Mark Welch | | |
| Residence & Citizenship: | City: Fremont | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 25 Montalban Drive, Fremont, CA 94536 USA | | |
| Full Name of Inventor 7: | Full Name: Claus Gustafsson | | |
| Residence & Citizenship: | City: Belmont | State/Foreign Country: California | Country of Citizenship: Sweden |
| Post Office Address: | Post Office Address: 1813 Bayview Avenue, Belmont, California 94002 USA | | |
| Full Name of Inventor 8: | Full Name: Brian Carr | | |
| Residence & Citizenship: | City: Fremont | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 3628 Thrush Terrace, Fremont, California 94555 USA | | |
| Full Name of Inventor 9: | Full Name: Stephane Jenne | | |
| Residence & Citizenship: | City: Burlingame | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 821 El Camino Real #202, Burlingame, California 94018 USA | | |
| Full Name of Inventor 10: | Full Name: Sun Ai Raillard | | |

| | | | |
|---------------------------|--|--|---|
| Residence & Citizenship: | City: Mountain View | State/Foreign Country: California | Country of Citizenship: Switzerland |
| Post Office Address: | Post Office Address: 964 Trophy Drive, Mountain View, California 94043 USA | | |
| Full Name of Inventor 11: | Full Name: Andreas Crameri | | |
| Residence & Citizenship: | City: Reinach | State/Foreign Country: Switzerland | Country of Citizenship: Switzerland |
| Post Office Address: | Post Office Address: Gehrenstr.3, 4153 Reinach, Switzerland | | |
| Full Name of Inventor 12: | Full Name: Willem P.C. Stemmer | | |
| Residence & Citizenship: | City: Los Gatos | State/Foreign Country: California | Country of Citizenship: Netherlands |
| Post Office Address: | Post Office Address: 108 Kathy Court, Los Gatos, California 95030 USA | | |
| Full Name of Inventor 13: | Full Name: Robin Emig | | |
| Residence & Citizenship: | City: Dublin | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 8014 South Lake Drive #E, Dublin, California 94568 USA | | |
| Full Name of Inventor 14: | Full Name: Pascal Longschamp | | |
| Residence & Citizenship: | City: East Palo Alto | State/Foreign Country: California | Country of Citizenship: Switzerland |
| Post Office Address: | Post Office Address: 1866 West Bayshore Road, #B, East Palo Alto, California 94303 USA | | |
| Full Name of Inventor 15: | Full Name: Stanley Goldman | | |
| Residence & Citizenship: | City: Walnut Creek | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 760 Rosewood Drive, Walnut Creek, California 94596 USA | | |
| Full Name of Inventor 16: | Full Name: Lorraine J. Giver | | |
| Residence & Citizenship: | City: Santa Clara | State/Foreign Country: California | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: 2538 Hawkington Court, Santa Clara, California 95051 USA | | |
| Full Name of Inventor 17: | Full Name: Joseph A. Affholter | | |
| Residence & Citizenship: | City: Lake Village Zephyr Cove | State/Foreign Country: Nevada | Country of Citizenship: United States |
| Post Office Address: | Post Office Address: PO Box 1656 225 Clubhouse Circle, Lake Village Zephyr Cove, NV 89448 USA | | |

400 05/03/01

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

| | | |
|--|---|---|
| Signature of Inventor 1  Steven H. Bass Date 3/22/01 | Signature of Inventor 2  S. Christopher Davis Date 22 nd March 2001 | Signature of Inventor 3  Phillip A. Patten Date 3-30-01 |
| Signature of Inventor 4  Matthew Tobin Date 3/22/01 | Signature of Inventor 5  Jeremy Minshull Date 3/22/01 | Signature of Inventor 6  Mark Welch Date 3/22/01 |
| Signature of Inventor 7  Claus Gustafson CLAES GUSTAFSON Date 3-22-01 | Signature of Inventor 8  Brian Carr Date 3/22/01 | Signature of Inventor 9  Stephanie Jenke Date 03/18/2001 |
| Signature of Inventor 10  Sun Ai Raillard Date 4-3-01 | Signature of Inventor 11  Andreas Crameri Date | Signature of Inventor 12  Willem P.C. Stemmer Date 3-29-2001 |
| Signature of Inventor 13  Robin Emig Date 3/22/01 | Signature of Inventor 14  Paschal Longchamp Date 3.22.01 | Signature of Inventor 15  Stanley Goldman Date 3/23/01 |


I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

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|-------------------------|-----------------------------|--------------------------|
| Signature of Inventor 1 | Signature of Inventor 2 | Signature of Inventor 3 |
| <u>Steven H. Bass</u> | <u>S. Christopher Davis</u> | <u>Phillip A. Patten</u> |
| Date | Date | Date |

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|-------------------------|-------------------------|-------------------------|
| Signature of Inventor 4 | Signature of Inventor 5 | Signature of Inventor 6 |
| <u>Matthew Tobin</u> | <u>Jeremy Minshull</u> | <u>Mark Welch</u> |
| Date | Date | Date |

| | | |
|--------------------------|--------------------------|----------------------------|
| Signature of Inventor 7 | Signature of Inventor 8 | Signature of Inventor 9 |
| <u>Claus Gustafson</u> | <u>Brian Carr</u> | <u>Stephane Jenne</u> |
| Date | Date | Date |
| Signature of Inventor 10 | Signature of Inventor 11 | Signature of Inventor 12 |
| <u>Sun Ai Raillard</u> | <u>Andreas Crameri</u> | <u>Willem P.C. Stemmer</u> |
| Date | Date <u>23.02.01</u> | Date |

| | | |
|--------------------------|--------------------------|--------------------------|
| Signature of Inventor 13 | Signature of Inventor 14 | Signature of Inventor 15 |
| <u>Robin Emig</u> | <u>Paschal Longchamp</u> | <u>Stanley Goldman</u> |
| Date | Date | Date |

| | |
|---|---|
| Signature of Inventor 16  Corrairie J. Giver | Signature of Inventor 17 Joseph A. Affholter |
| Date 3/23/01 | Date |

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| | |
|--------------------------|-------------------------------------|
| Signature of Inventor 16 | Signature of Inventor 17 |
| <hr/> | <i>Joseph A. Affholter</i> <hr/> |
| Lorraine J. Giver | Joseph A. Affholter |
| Date | Date 05/03/01 |

declaration